UNITED STATES GOVERNMENT

Memorandum

TO: DCM recipients   DATE: August 27, 2003

FROM: Barbara B. Tillett, Chief
Cataloging Policy and Support Office

SUBJECT: *DCM Z1:* Contents (p. 1), Introduction (p. 1-13), MARC 21 Fields used in Serial Records (p. 1-5), 008/11 (p. 1), 008/15 (p. 1), 008/33 (p. 1-2), 010 (p. 1), 022 (p. 1), 053 (p. 1), 667 (p. 1-7), 670 (p. 1-10), 781 (p. 1), 953 (p. 1); *MARC 21 Authority: LC Guidelines:* 781 (p. 1)

        This update package includes a new yellow page for the 781 field (a field not yet implemented by LC catalogers) and other pages related to the 781 field, a revision of the 670 yellow pages to modify the instructions for citing electronic resources, other revisions to update and clarify information, and a notification to delete the page "LC Database Leader/Fixed Field Conversion Table" (no longer needed due to changes in how the 008 information is displayed in the LC Database).

        Also in the package is a revised blue page for the 781 field.

CONTENTS

INTRODUCTION

These instructions address the creation and update of name and series authority records. They do not address subject authority records. For the purposes of this document, "authority record" applies to both name and series authority records. "Authority file" applies only to the name and series authority records which constitute the national authority file (NAF).

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file. In addition to being available online at LC, the authority file is available to NACO participants through the OCLC and RLIN utilities.

In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, RLIN, etc. NACO participants may choose to use only LC records found on the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the "LC database" (see 670 yellow pages). In this document, "database" refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

Use this document (DCM Z1) in connection with AACR 2, *Library of Congress Rule Interpretations* (LCRI), and other sections of the *Descriptive Cataloging Manual* (DCM). It supplements the *MARC 21 Format for Authority Data* and generally does not repeat information | found in the format. Interfile the pages of this document with the appropriate pages of the format; the pages of this introduction through the pages "MARC 21 fields ..." can be filed after the introduction section in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol "#" represents a blank in an indicator position; the symbol "$" is used for the delimiter.

This Introduction section covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series statement appears only on CIP data sheet at galley stage
- Priorities for series/multipart items
- Searching series

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name chosen for use in headings, 2) the sources for this form and for variant forms, and 3) the cross references leading to the heading from variant forms or from related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of the data.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that <u>may</u> be used as a main or added entry heading, whether it is actually first used as (or as part of) a main entry heading, a secondary entry (including a subject entry), or in certain cross references (e.g., hierarchy 4XX references, 5XX references). NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subject entries, e.g., topical subject headings, fictional characters, animals.

LC practice: For titles or name/titles (other than series, see below), an authority record is required <u>only</u> when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Authority records are <u>not</u> automatically created for each element of a uniform title heading.

> (1)   a reference must be traced on **that** authority record; or,
> (2)   special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
> (3)   the heading is needed for a <u>related</u> work added entry or subject entry and the work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC or RLIN. See specific guidelines in LCRI 21.30G for a related work added entry; apply the same guidelines when a heading is needed for a subject entry; or,
> (4)   special information needs to be recorded, e.g., citation title for a law;

LC music cataloging practice: As of August 16, 1999, authority records are created for ALL title and name/title headings.

PCC practice: NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging. Also consult LCRI 21.30G for specific guidelines when a heading is needed for a related work added entry; apply the same guidelines when a heading is needed for a subject entry.

Series authority records (SARs)

　　　LC practice: Make a series authority record for all monographic series, analyzable or partially analyzable multipart items, all occasionally analyzable serials other than monographic series, and series-like phrases that may be construed by some to constitute a series.

　　　NACO participants may contribute series authority records for categories noted in paragraph above; they may contribute series authority records for not-analyzable multipart items according to local decisions.

　　　A series-like phrase record also can be made to record information of general interest or application, e.g., the 1XX in the record is an imprint rather than a title.

　　　A series authority record has the following basic contents: 1) type of series code (i.e., monographic series, analyzable multipart item, a serial other than a monographic series, series-like phrase), 2) form of heading, 3) series treatment (classification, analysis, and tracing), 4) series numbering, 5) an LC call number, if classified as a collection, 6) place of publication and publisher/issuing body, 7) the source(s) on which the form of series heading is based, 8) cross references leading to the heading from variant forms and from/to related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of data.

　　　Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file that accommodates not only LC holdings and practices, but those of other institutions as well.

　　　Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Because series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

Additions and changes to authority records

　　　Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

　　　Normally a new reference or a change in heading must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

　　　Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the

form of name of a person, corporate body, uniform title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

LC practice: Do appropriate bibliographic file maintenance if changing the 1XX heading. *NACO practice:* If changing the 1XX heading, report the need for bibliographic file maintenance to the Cooperative Cataloging Team, RCCD.

Code uncoded headings for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to the Cataloging Policy and Support Office (CPSO).

Series authorities contributed by NACO libraries may or may not reflect LC treatment decisions; see the 64X yellow pages for specific information about presence/absence of LC treatment decisions. *LC practice:* When cataloging the first item for LC, add any missing treatment decisions for LC.

NACO normalization

The Research Libraries Group (RLG) has in place computer software that compares headings and see references in the authority file to determine if there is duplication.

This comparison relies on a process called *normalization,* a computer edit designed to eliminate all but the essential characters of a heading for the purpose of the comparison. All parties involved in the exchange of authority data have agreed to the rules for normalization. The process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters (but not subfield codes) are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

> Catalog form: Ile-de-Montréal (Québec)
> Normalized form: ILE DE MONTREAL QUEBEC

Only normalized forms of headings and references are compared in the check for uniqueness. Normalized forms that match are considered duplicate headings or a see reference in conflict with an authorized heading.

The only mark of punctuation that is retained during normalization is the first comma in subfield $a. This exception means that the following two headings normalize to different forms:

Catalog form: Chung, Hui
Normalized form: CHUNG, HUI

Catalog form: Chung-hui
Normalized form: CHUNG HUI

To conform to the NACO standard, participants must adhere to the following policies:

Headings. Because headings that differ only in diacritics, marks of punctuation (except the first comma, as stated above), capitalization, or special characters normalize to the same form, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

```
100 1#  $a Ku, Chun
400 1#  $a Gu, Zhun
400 1#  $a Gu, Qun
670     $a [Editor of Hsia jih ti hui i]
670     $a Lo, Y.L. Hsia jih ti hui i, 1977: $b t.p. (Ku
           Chün)
670     $a [Joint author of Chung-kuo cheng fu k'uai chi chih
           tu]
670     $a P'an, H.L. Chung-kuo cheng fu k'uai chi chih tu,
           1941: $b t.p. (Ku Chun)
```

Form of entry on bibliographic records for the first author: Ku, Chün.

Form of entry on bibliographic records for the second author: Ku, Chun.

See References. Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

```
        100 0#  $a Napoleon $b I, $c Emperor of the French, $d 1769-
                   1821
        667     $a Old catalog heading: Napoléon I, Emperor of the
                   French, 1769-1821
not     400 0#  $w nnaa $a Napoléon $b I, $c Emperor of the French,
                   $d 1769-1821
```

```
        130 #0 $a Archives of toxicology. $p Supplement
        667    $a Old catalog heading: Archives of toxicology :
               Supplement
not     430 #0 $w nnaa $a Archives of toxicology : $p Supplement


but     151 ## $a Birmingham (Ala.)
        451 ## $w nnaa $a Birmingham, Ala.
```
(This linking reference is permitted because the comma in the $a subfield makes the heading unique.)

```
        110 2# $a United States Information Agency
        410 1# $a United States. $b Information Agency
```
(This reference is permitted because the delimiter is retained in the normalized form and makes the heading unique.)

Apply these guidelines to references on new authority records and to existing authority records when making some other change to the record.

Should an SAR be made?

Series authority records should <u>not</u> be made for the following categories:

(1)   a republication that does not include the original series statement (see "Republications" section in 64X yellow pages);

(2)   *LC practice:* an unanalyzable numbered multipart item;

(3)   *LC practice:* generally, an unnumbered multipart set processed via "2A cataloging" unless some of the volumes have been analyzed (see DCM C12.7);

(4)   *LC practice:* a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;

      Some issues of some periodicals were analyzed in error and are represented by SARs. 008/12 should be value "z" and the 644 field should be: 644 $a n $b except [vol. no. of the volume(s) already analyzed] $5 DLC. If the SAR does have this information, send the volume(s) in hand to

Processing and Reference Section, Serial Record Division; if the SAR doesn't have that information, send the volume(s) in hand and SAR printout to CPSO.

If there is no SAR but there are analytic records, refer the volume(s) in hand to CPSO with a note "Periodical has been analyzed -- no SAR."

(5)   a hardcover (sometimes even softcover) edition of a selected issue of a periodical;

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers. The Library generally acquires the separate edition whether or not it subscribes to the periodical.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., "Published also as v. 15, no. 2 of the Journal of children in contemporary society." Give a related work added entry for the periodical on the bibliographic record (cf. LCRI 21.30G).

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title "has also been published as [title of journal], v. _____, no. _____." Others make ambiguous or misleading statements, e.g., saying that the edition is "Published as a special issue of the journal _____, v. _____, no. _____ and supplied to subscribers as part of their normal subscription." The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

Because the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

(1)   How many authority records are made if the title or the series-like phrase |

changes?

Is the change in the series-like phrase or in the title proper of the
monographic series/other serial a major change or a minor change?
(Consult 21.2A, LCRI 21.2A.) If it is a major change, make a new SAR.
If it is a minor change, give a 670 citation and a 4XX reference for the
different form.

Is a separate SAR made when the title of a multipart item changes? No;
give the other title proper as a 4XX reference.

(2)   How many authority records are made if the volumes of a monographic
        series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.

(3)   How many authority records are made if the same volumes in a series are
        published separately by publishers in the same language in the United
        States and in another country (e.g., England)? A separate SAR is made
        for the series from each publisher; if the titles of the series are the same,
        add a LCRI 25.5B qualifier to the SAR made later.

(4)   How many authority records are made if the volumes of a monographic
        series switch from having numbers to lacking numbers and vice versa?
        Consult LCRI 1.6.

(5)   How many authority records are made for main series and subseries?
        Consult LCRI 1.6H and LCRI 1.6.

(6)   Has there been a change in responsibility (i.e., different person/body,
        body's name changes, uniform title changes)? Consult 21.3B.

(7)   When reestablishing a series, is the apparent difference between the
        "earlier" form of title and the current title due to different transcription
        practices? If so, make only one SAR. *Optionally*, give the "earlier" form
        as a 4XX/667 old catalog heading (see 4XX yellow pages).

        Possibilities include the following:

                (a)   A change in the ALA/LC policy for romanization or word
                        division results in a different title.

                        ```
                        130 #0 $a Makedonikē vivliothēkē
                        430 #0 $w nna $a Makedonikē bibliothēkē
                        ```

                (b)   The title is in a language containing a symbol or numeral

that under earlier rules was replaced by the corresponding word or words.

```
130 #0 $a Soldatenschicksale des 20.
        Jahrhunderts als Geschichtsquellen
430 #0 $w nna $a Soldatenschicksale des
        zwanzigsten Jahrhunderts als
        Geschichtsquellen
```

    (c)   The title of the series was transcribed in truncated form under previous rules.

```
130 #0 $a Occasional papers of the California
        Academy of Sciences
410 2# $w nnaa $a California Academy of
        Sciences, San Francisco. $t Occasional
        papers
```

    (d)   The series title consists solely of the name of a corporate body and the same form of the same series was under earlier rules considered to lack a title.

```
130 #0 $a Centre de recherches d'histoire
        ancienne (Series)
410 2# $w nnaa $a Centre de recherches
        d'histoire ancienne. $t Publication

    (pre-AACR2 form of heading:  Centre de
    recherches d'histoire ancienne.
    [Publication])
```

    (e)   Evidence indicates that a word such as Bibliotheca, Collection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.

(8)   How many series-like phrase heading SARs are made for the same phrase used by different bodies?

There should be only one SAR. If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing heading any qualifier other than "(Series)."

If the heading on an undifferentiated phrase record consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier "(Series)." If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), add a qualifier to the heading for the serial on its bibliographic record.

Give the 643 field as "Various places : various publishers." Do not give a 667 for publisher variations.

Include two 667 fields. The first should be either "Give phrase as a quoted note" or "Do not give phrase as quoted note." The second 667 should be the following: "Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made."

LC practice: Use the template "series-phrase-nonunique.tem" and cancel any existing phrase SAR in favor of the new record. Template has the 643 field and "Undifferentiated ..." 667 field notes above. The other 667 field in the template is given in the form "Give --- Do not give the phrase as a quoted note." Delete either "Give" or "Do not give" from the 667 field so appropriate instruction remains.

Series statement appears only on CIP data sheet at galley stage (LC practice)

(1) Series is new to the Library.

Either, (a) Clarify the data with the publisher via a phone call:

(i)   Request revised copy (e.g., revision of the mock-up title page, preliminaries) from the publisher.

(ii)   Add 955 to the CIP bibliographic record: "Holding CIP waiting for series information from publisher."

(iii) When revised copy is received, establish series according to regular procedures.

(iv) If revised copy is not received, establish the series provisionally using the form given by the publisher in the telephone call and transcribe the series statement without brackets in the bibliographic record.

(v)   If publisher could not be contacted, establish the series provisionally using the form on the data sheet and transcribe the series statement without brackets in the bibliographic record.

or   (b) return the CIP data sheet to CIP Division with request that CIP contact the publisher.

(i)   Add 955 to the CIP bibliographic record: "Returned to CIP to request series information."

(ii)   When revised copy is received, establish series according to regular procedures.

(iii) If revised copy is not received, establish the series provisionally using the form on the data sheet and transcribe the series statement without brackets in the bibliographic record.

(2) Series is already represented by an SAR.

(a) Series title on data sheet matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular procedures.

(b) Series title on data sheet is considered to be variant form of the title in the SAR:

(i)   Transcribe the series statement without brackets and trace the series if appropriate according to regular procedures.

(ii)   Add reference(s) to the SAR for the variant form.

(c) Series title on data sheet might represent a title change or situation might require a change in heading from that in the SAR:

(i)   Either clarify the data with publisher yourself or return the CIP data sheet to CIP Division with request that CIP contact the publisher (see (1)(a) or (1)(b) above for procedures to follow).

(ii)   When information from publisher is received, follow regular procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.

(iii) If information is not received from publisher, create a new SAR and code it as a "provisional" record. Include explanation in 667 about lack of information from publisher. Transcribe the series statement without brackets in the bibliographic record.

(3) Series is represented by analytic bibliographic records but there is no SAR: Contact CPSO.

Priorities for series/multipart items *(LC practice)*

The first volume received of a numbered monographic series and the first/subsequent volumes of a multipart item are priority 2 materials. If the volume has a slip with a lower priority, change the priority slip.

Items in the categories listed below formerly were upgraded to priority 1. Do <u>not</u> upgrade the priority of these volumes. However, realize that efficient processing of these items will mean that later volumes can also be processed efficiently. If problems develop due to delays in cataloging, notify CPSO.

(a) first volume in LC* of a series/subseries being classed as a collection or is in LC but lacks call number;

(b) first volume in LC of a multipart item being classed as a collection;

(c) series/subseries/multipart item being changed from classed separately to classed as a collection;

(d) analyzed volume of a periodical, etc., not yet in LC* or in LC but lacks call number;

(e) law series classed as a collection but "LAW" is only call number on analytic records.

*Serial catalogers: If no decision has been made regarding selection of the serial <u>as a whole,</u> forward the serial to the serial selection officer; if the serial <u>as a whole</u> is not to be added to LC's collections, forward the item(s) and the SAR printout to CPSO.

Searching series

LC catalogers working in the LC Database: Also see the searching strategy document, *Bibliographic Workflow Training Document 2.*
.

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will "fit" and not conflict with headings on authority and bibliographic records (also see LCRI 25.5B).

Remember that the bibliographic records in the database include series handled under different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of entry:
AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.
AACR 2 has no special rule for serials. Most are entered under

title per 21.1C1.

Title truncated:
> For a time AACR 1 eliminated from the series title the name or part of the name of the body. "Bulletin of the Department of Education" became "Bulletin." "Research Department study" became "Study."

Space-hyphen-space:
> Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). "Report - Department of Health" might be "Report - Virginia Department of Health" on the next issue and "Report - Commonwealth of Virginia Department of Health" on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:
> AACR 1: If subseries title was "weak," the subseries was entered subordinately to the main series; if subseries title was "strong," the subseries was entered independently.
>
> AACR 2: If the main series and subseries are on the same source in the preliminaries, the subseries is entered subordinately to the main series; it the main series and subseries aren't on the same source in the preliminaries, the subseries is entered independently.

Also remember that series titles including initial articles appearing on pre-1979 records, in series statements for untraced series (490 0), and in some LC in-process records do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.

LC catalogers: You may need to search in the manual Official Name Catalog for older publications not found in the LC Database or for more information than can be found in PREMARC records. Remember that there is no series usage in PREMARC records; only series added entries are included and they reflect a mixture of earlier cataloging rules (also see DCM S1).

LC Database Leader/Fixed Field Conversion Table

CANCELLED; Please delete from printed manuals

MARC 21 Fields Used in Serial Records

Collected set serial bibliographic records for monographic series classified as a collection by the Library of Congress are in the LC Database.

Collected set serial bibliographic records for monographic series held by the National Library of Canada (NLC) and other libraries in CONSER (CONversion of SERials Program) are not found in the LC Database; they are in OCLC and RLIN. Catalogers have no responsibility to search those databases to look for conflicts or to do maintenance. However, since those CONSER records may have useful information for resolving a series problem, they may be considered a reference source.

Below are explanations of some of the MARC 21 fields used primarily/only in serial bibliographic records. For an explanation of fields not covered here, see the *CONSER Editing Guide*.)

Fields which may affect series heading or treatment

010 field (LC control number)

This field may contain a regular LC control number (usually without prefix) or a pseudo LC control number (with "pseudo" prefix). If the record in the OCLC database used by an LC serials cataloger already has a pseudo LC control number, as of May 1, 1999 it is not being replaced by a regular LC control number lacking a prefix.

Listed below are the prefixes that now may be found in LC control numbers with an explanation of the use of these prefixes before May 1, 1999.

ce prefix =   Canadian bilingual publication, English language cataloging.

cn prefix =   Unilingual Canadian publication, English language cataloging (also used for unilingual French language cataloging, but records not in the LC Database).

sf prefix =   Records authenticated by LC for titles held by LC given less than full cataloging: form card cataloging, minimal level cataloging, and other forms of cataloging for which no serial printed card existed (e.g., monographic series classified separately).

sn prefix =   Records authenticated by CONSER participants, National Serials Data Program (NSDP), United States Newspaper Program (USNP), and the

former New Serial Titles Section (NST). (Prior to 1984, "sn" control numbers were also assigned to LC minimal level cataloging records.)

042 field (Authentication agency code)

Records may have more than one code. If the record is an AACR 2 record and has been authenticated by LC or NLC, the heading is usually accepted as the AACR 2 heading. (See also 1XX yellow pages.)

lc   descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file

lcd   descriptive elements verified by LC or a CONSER participant; all name and series headings are represented by name/series authority records in the national authority file or there are no headings appropriate to the record

nlc   descriptive elements and headings verified by National Library of Canada

nsdp   ISSN elements (e.g., ISSN, key title) verified by National Serials Data Program (NSDP)

isds/c ISSN elements verified by ISSN Canada

nst   code used 1981-1984 for records selected for publication in *New Serial Titles*; descriptive elements are only as accurate as reported by the NST reporting libraries; codes "lcd" and "msc" used 1985-1993 for such records (LC's New Serial Titles Section abolished in 1993)

msc   descriptive elements verified by NSDP, NST, the CONSER Minimal Level Cataloging Section, or a CONSER participant including U.S. Newspaper Program participants; all name and series headings are in AACR2 form but may not be represented by name/series authority records in the national authority file. (Prior to fall 1989, this code was also used when there were no headings appropriate to the record.)

premarc   code used for records converted to machine-readable form as part of LC |
               retrospective conversion (source records used are printed catalog cards |
               taken from the LC general shelflist and other manual LC files, or OCLC
               records that have been amalgamated with data from LC manual files);
               descriptive elements have not necessarily been verified or reverified by
               LC but the authoritativeness of the headings is indicated by the additional
               presence of code "lcd" or "msc"

xlc   not <u>currently</u> treated as a serial by LC; this code will appear only in combination with other codes (e.g., "nsdp," "nlc") that indicate serial treatment by another authenticating agency.

[N.B.: An "x" preceding any of the agency-specific codes above indicates that the agency does not currently treat the publication as a serial.]

050 field (Library of Congress Class/Call Number)

      This field with second indicator of "0" may contain an LC call number, an LC shelf number, or other indication of LC practice.

IN PROCESS   Call number not yet assigned (prior to 1990, PAR or REV PAR used)

CLASSED SEPARATELY   Monographic series classified separately in LC. (Prior to 1990, UNC used.)

UNCLASSED   Titles in LC which do not receive a call number, i.e. already existing form card cataloging (e.g., for technical reports) or temporary cataloging. (Prior to 1990, UNC was used.)

UNCLASSIFIED   Same as "UNCLASSED"

NOT IN LC   Cooperatively cataloged records for serials known not to be in LC

WMLC [no.]   Shelf number for non-microform materials represented by minimal level cataloging records

MICROFILM [no.]   Microfilm shelf number

MICROFICHE [no.] Microfiche shelf number

Newspaper   Considered a newspaper within LC; may be followed by a number

DISCARD   Retention decision

CURRENT ISSUES ONLY Retention decision

Fields showing variant and changed titles

Information in the following fields is to be used only as an aid in interpreting data on records; it is not to be used to justify 4XX/5XX references or establishment of new series headings when the variant/changed titles are not found on analytic records or on the item in hand.

246 field (Varying form of title)

The indicators in this field are the same as in monograph records.

247 field (Former title or title variations)

Not used for AACR2; used for title changes on AACR 1 records before June 14, 1971, and for earlier titles in latest entry (ALA) cataloging records.

580 field (Linking entry complexity note)

This field is used to describe the relationship between two entries when it cannot be stated simply with a note generated by the 780/785 field.

780 field (Preceding entry)

The second indicator in this field gives the exact relationship:

> 0 = Continues
> 1 = Continues in part
> 2 = Supersedes   (not used for AACR 2)
> 3 = Supersedes in part   (not used for AACR 2)
> 4 = Formed by the union of _____ and _____
> 5 = Absorbed
> 6 = Absorbed in part
> 7 = Separated from

785 field (Succeeding entry)

The second indicator in this field gives the exact relationship:

0 =   Continued by
1 =   Continued in part by
2 =   Superseded by   (not used for AACR 2)
3 =   Superseded in part by (not used for AACR 2)
4 =   Absorbed by
5 =   Absorbed in part by
6 =   Split into _____ and _____
7 =   Merged with _____ to form _____
8 =   Changed back to

Other fields of interest

310 field (Current frequency)

If the frequency indicated is more often than annual, the series may actually be a periodical.

321 field (Former frequency)

This field gives information about earlier/past frequencies of publication. |

362 field (Dates of publication and volume designation)

This field gives information about first and/or last issues.

515 field (Numbering peculiarities note)

This field contains information on peculiarities/irregularities in numbering or |
pattern of publication. |

550 field (Issuing body note)

This field shows variations in the issuing body.

008/11   **Subject Heading System/Thesaurus**

Corporate headings for high government and religious officials

Assign value "n" (Not applicable) to name authority records for corporate headings representing the office held for Heads of state, etc. (AACR2 rule 24.20B1), Heads of governments and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value "b" in 008/15 and make a 667 note indicating the form used in subject cataloging.

Examples of corporate headings not appropriate for use as subject headings:

United States. President (1953-1961 : Eisenhower)
Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)
Illinois. Governor (1973-1977 : Walker)
Catholic Church. Pope (1958-1963 : John XXIII)
Church of England. Diocese of London. Bishop (1675-1713 : Compton)

See also DCM Z1 008/15 and DCM Z1 667 section "NARs and subject usage."

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

008/15   Heading Use–Subject Added Entry

Corporate headings for high government and religious officials

  Background: For Heads of state, etc., Heads of governments and of international |
intergovernmental bodies, Religious officials, and Popes, descriptive catalogers may be required |
to establish a corporate heading for the office as well as a personal name heading for the office
holder. It is subject cataloging policy to assign only the personal name heading, not the
corporate heading, as a subject access point. This policy was established for collocation
purposes (cf. SCM H 430). For example, the heading:

    United States. President (1789-1979 : Washington)

may be used in descriptive cataloging as an access point, but in subject cataloging only the
personal heading:

    Washington, George, 1732-1799

would be used as a subject access point.

  Assign value "b" (Not appropriate) to name authority records for corporate headings
representing the office held for Heads of state, etc. (AACR2 rule 24.20B1), Heads of |
governments and of international intergovernmental bodies (AACR2 rule 24.20C), Religious |
officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the
incumbent is included as part of the heading. Also assign value "n" in 008/11 and make a 667
note indicating the form used in subject cataloging.

    Example:

```
110 2# $a Catholic Church. $b Pope (1958-1963 : John XXIII)
008/11 = n
008/15 = b
667 ## $a SUBJECT USAGE: This heading is not valid for use
        as a subject. Works about this person are entered
        under John XXIII, Pope, 1881-1963.
```

  See also DCM Z1 008/11 and DCM Z1 667 section "NARs and subject usage." |

  Follow these guidelines for newly-created authority records. Correct existing records
when making any other change to the records.

August 2003   *008/15*

1

008/33   Level of Establishment

NARs

     NACO participants and **provisional** (008/33 value "c") records:

     In addition to the basic condition for coding an authority record provisional, i.e., that the heading cannot be formulated satisfactorily because of inadequate information, **NACO** participants may create provisional records in the following exceptional situations:

     (1)   If the contributing library does not have the language expertise to establish the heading as a fully established authority record; this would include situations where the library lacked adequate reference sources for research or where the cataloger was not confident of the correct grammatical form of heading.

     (2)   If the contributing library is unable, due to limited resources or other constraints, to complete related authority work or to determine the appropriate reference structure that is required for fully established headings.

     In no case will NACO participants create provisional authority records for headings that conflict (including normalization) with already established headings. The Cooperative Cataloging Team is prepared to provide language expertise, etc., to NACO participants on request, so that such headings and references can be fully established at the time they are contributed.

     Questions about provisional authority records contributed by NACO participants should be referred to the Cooperative Cataloging Team, which may refer them to the appropriate subject team.

     BIBCO participants and **provisional** records:

     BIBCO participants may <u>not</u> create **provisional** records in the two exceptional situations noted above for NACO participants <u>if</u> the NARs being contributed by BIBCO libraries are in support of their BIBCO bibliographic records, i.e., those records with "pcc" in 042.

     LC/NACO participants and **Preliminary** (008/33 value "d") records:

     Preliminary authority records (008/33 value "d") generally are the result of retrospective projects. LC catalogers are expected to upgrade NARs coded preliminary when using the heading on a bibliographic record. PCC catalogers are expected to routinely upgrade NARs coded preliminary when making other modifications to the record. Because of this

maintenance requirement, NACO participants are asked to contact the Cooperative Cataloging Team before embarking on projects that may result in large numbers of NARs coded preliminary being added to the NACO Authority File.

As needed, catalogers may upgrade NARs coded preliminary when working with earlier/later corporate body headings although the heading(s) being upgraded is not used in the local bibliographic database. Occasionally catalogers may need to create a new heading(s) without having an item in hand, e.g., for an earlier or later name heading using information from reference sources, or a heading based on information found in field 245 subfield "c" of bibliographic records when resolving NAR conflicts. Do not code these occasional NARs as "preliminary."

SARs

Generally, do not use value "d" for series authority records; the series data elements should be viewed on the publication when creating SARs. Upgrade a preliminary record to a full level record when you have examined the publication.

010   Library of Congress Control Number

When one authority record is being deleted in favor of another authority record, give the LCCN of the deleted record in subfield $z of the 010 field in the retained record. This action may result in a mixture of old and new-structure LCCNs. When inputting the LCCN, follow the conventions appropriate to the structure of that LCCN. Do not convert old-structure LCCNs to new-structure LCCNs, or vice versa. (See DCM C3 for additional information.)

    Examples:
        [blank space = system-supplied space for clarity in display; "#" = space input by cataloger]

        010     $a n##99001234# $z no#98222222# $z n##99500045#
                [all LCCNs are old-structure]

        010     $a nr2001040302 $z n#2001000888
                [all LCCNs are new-structure]

        010     $a n##99123456# $z n#2001123456
                [LCCN in subfield $a is old-structure; LCCN in subfield $z is new-structure]

        010     $a no2001333333 $z nb#99000123#
                [LCCN in subfield $a is new-structure; LCCN in subfield $z is old-structure]

Do not "re-use" an LCCN. Once an authority record for a specific entity is created and an LCCN is assigned to the record, do not change the data in that record to represent a DIFFERENT entity. For example, do not change an NAR for "Smith, John" to "Jones, Mary" (unless the person's name has changed).

When a duplicate authority record is identified, delete the record. Do NOT "fix up" the record by deleting the 040 $d in the record and keying in all new fixed and variable fields so that the record "looks" new. This action causes problems for LC, CDS, the bibliographic utilities, and other libraries' systems.

022   International Standard Serial Number

LC does not use the following subfields:

$y - Incorrect ISSN
$z - Cancelled ISSN

Do not do any special searching to determine the ISSN; give the ISSN if it is available from the item in hand, from analytic bibliographic records, or from the collected set bibliographic record for the series.

Do not give an ISSN if it has more or less than eight digits or if a letter other than "X" is the eighth digit. Do not give an ISBN or ISSN listed by the publisher for a multipart item set.

When the title of a publication has changed, confirm that an ISSN appearing on the publication belongs to the new title and not to the earlier title.

An incorrect ISSN can be given in a 667 field (e.g., "ISSN 1122-3344 is not a valid ISSN for this publication").

Do not use this field in an SAR for a series-like phrase. If an ISSN is on an item containing a phrase judged not to be a series, reconsider the decision that the phrase isn't a series.

053   LC Classification Number

NACO practice: NACO participants may use this field only in the following situation: to record LC classification numbers associated with personal name headings for authors who have written works of the imagination, other than works for children. They may input classification numbers found on bibliographic records created and input by LC; they may request verification of other classification numbers.

LC practice: LC catalogers are strongly encouraged to add 053 fields to NARs for authors who have written works of the imagination, other than works for children. Follow team practice for when the field is added and who adds the field. Add an LC authorized 053 field even if the number is identical to an unverified 053 field already in the NAR.

Verification of LC classification numbers for literary authors

LC's Cooperative Cataloging Team will supply verification of LC classification numbers for literary authors upon request of a NACO participant. A web form for 053 submissions is available at URL: http://www.loc.gov/catdir/pcc/053/053prop.html. BIBCO participants are strongly encouraged to use this form to verify LC classification numbers for literary authors to allow for greater consistency and applicability of their PCC cataloging.

Use and order of 053 fields

Do not add an 053 field to an NAR for a non-unique heading (code "b" in 008/32).

Indicators:
        If the classification number is from a bibliographic record created and input by LC (040 $a DLC $c DLC) or has been verified by LC, use a second indicator of "0." For any other 053 input by a NACO participant, use a second indicator of "4" and a subfield $5 with the participant's MARC 21 identification code. Multiple subfield $5 are not allowed.

Number and order of fields:
        If a verified 053 (i.e., 053 with second indicator of "0") is already in the NAR, don't add an unverified 053 (i.e., 053 with second indicator of "4").

        Generally, only one verified 053 and one unverified 053 are permitted in an NAR. Exception: If an author writes in several languages, multiple verified and multiple unverified fields may be given; arrange the fields in class letter/number order and add the name of the language in subfield $c in each 053 field.

        A single or multiple verified 053 field(s) should precede a single or multiple unverified 053 field(s).

667   Nonpublic General Note

Give information of permanent value and general interest that would be useful also to institutions outside of LC <u>and</u> to LC staff not working in the LC Database. A listing (not exhaustive) of types of notes is given below; with the exception of notes about old catalog headings, series-like phrase core records, and technical reports as well as the first part of the MESSAGE notes, the wording is recommended but not prescriptive. The separate 667 fields may be given in any order.

```
667  $a Not same as:  [name or title, LCCN]
667  $a Cannot identify with:  [name or title, LCCN]
667  $a Reinvestigate before using again
667  $a Formerly on undifferentiated name record: [LCCN of
       undifferentiated name record]
667  $a Coded "provisional" because [reason for coding]
```

NARs and subject usage

(1) Notes indicating subject cataloging usage when an authority record heading is not appropriate for use as a subject entry

Add a 667 note to name authority records indicating subject cataloging usage for corporate headings representing the office held for Heads of state, etc., (AACR2 rule 24.20B1), Heads of governmental and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value "n" in 008/11 and value "b" in 008/15.

```
667  $a SUBJECT USAGE: This heading is not valid for use as
       a subject. Works about this person are entered under
       [personal name heading].
```

Example:

```
110 1# $a United States. $b President (1953-1961 :
       Eisenhower)
008/11 = n
008/15 = b
667    $a SUBJECT USAGE: This heading is not valid for use
       as a subject. Works about this person are entered
       under Eisenhower, Dwight D. (Dwight David), 1890-
       1969.
```

See also DCM Z1 008/11 and DCM Z1 008/15.

Follow these guidelines for newly-created authority records. Revise existing records when making any other change to the records.

(2)   Notes indicating that a geographic name heading is not appropriate for use as a geographic subdivision

PCC optional practice:

Add a 667 note to name authority records for geographic headings that are not appropriate for use as geographic subdivisions in subject cataloging usage (Per SCM H 836) when the name represents an entity within a city and is qualified by the city name. Such notes will most frequently be needed for names of city sections, districts, neighborhoods, etc. Make no changes to values in bytes of the 008.

```
667   $a SUBJECT USAGE: This heading is not valid for use as
         a geographic subdivision.
```

Example:

```
151   $a Hollywood (Los Angeles, Calif.)
667   $a SUBJECT USAGE: This heading is not valid for use
         as a geographic subdivision.
```

Follow these guidelines for newly-created authority records. Add the note to an existing record when making any other change to the record.

See DCM Z1 781 for guidelines on adding 781 fields to name authority records for geographic headings that may also be used as geographic subdivisions.

MESSAGE notes *(LC practice)*

Use notes in the 667 field to indicate that an authority record is not yet finished or that it needs further investigation. Use the notes only when the work cannot be completed promptly.

If a new authority record cannot be completed immediately, adjust the code in LDR/17 from "n" to "o" and add a 667 note: "MESSAGE: Early notice." When the record has been completed, change the code back to "n" and delete the 667 MESSAGE note.

If an existing authority record needs investigation that cannot be completed immediately, adjust the code in 008/31 from "a" to "b" and add a 667 note: "MESSAGE: Being updated. [code and date]" (Additional information explaining the problem may be added, if considered useful.) When the record has been revised as necessary, change the value back to "a" and delete the 667 MESSAGE note.

```
667   $a MESSAGE  Being updated. [code and date]
667   $a MESSAGE  Being updated; 050 to be added. [code and
         date]
667   $a MESSAGE  Being updated; treatment being changed to
```

```
                    collected, not analyzed after Feb. 2, 1992. [code and
                    date]
```

NARs

```
              667  $a Change heading if name _____
                   continues to be used
              667  $a For works issued before/after [date]
                         (to be used for official language changes)
```

SARs

    (1) Notes re title proper:

    There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in hand).   There may be a change in the form of the title proper that isn't considered a title change (AACR 2 21.2A/LCRI 21.2A). You can use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

```
              667  $a Some issues have title: [title proper]
              667  $a Vol. 8 has title: [title proper]
                         [for fluctuating titles]

              667  $a Vols. 9-   have title: [title proper]
                         [for change not generating separate record]
```

    If the subtitle could be interpreted as the title proper of the series or as a subseries, note the subtitle in a 667 field and give it as a 4XX reference.

```
              667  $a Subtitle: [title of subtitle]
```

    Do not use the 667 field to indicate variant titles of the series title proper found on the same item (e.g., form of series title on cover is different from form of series on series title page); note the variant titles in 670 field(s) and give them as 4XX references.

    (2) Notes re relationship to other series/records:

    If a series authority record represents a publication that is a successive entry that has occurred after a series was last handled under pre-AACR 2 rules but for which no SAR yet exists, give the information only in a 667 field rather than in 675/5XX fields. Label it, in square brackets, as an unevaluated catalog entry form. When the pre-AACR 2 catalog entry form is being evaluated in terms of AACR 2 choice and form of entry, delete this 667 and replace it with appropriate 675/5XX fields on both SARs.

```
667   $a Continues: [pre-AACR 2 catalog entry form]
               [unevaluated catalog entry form]
667   $a Continued by: [pre-AACR 2 catalog entry form]
               [unevaluated catalog entry form]
```

If the earlier publication was not analyzable, give the information only in a 667 field rather than in 675/5XX fields.

```
667   $a Continues the not-analyzable serial:  Directory of
               computer assisted research in musicology.
```

When the optional linking reference cannot be given between the AACR 2 form and the pre-AACR 2 form due to NACO normalization, if desired give the pre-AACR 2 information in a 667 field. Use one of the notes given below. (See "NACO normalization" section in Introduction yellow pages.)

```
667   $a Old catalog heading: _____
               [Use if the reference would normalize to the
               same form as the heading or another reference on
               the same record or to the same form as a heading
               on another record.]

667   $a Includes old catalog headings:  Great Britain.
               Foreign Office. Treaty series; and, Great Britain.
               Foreign and Commonwealth Office. Treaty series"
                   [Use if two or more pre-AACR 2 headings will be
                   treated as  one heading under AACR 2.]

667   $a Previous to AACR 2 covered by the heading:
           _____
                   [Use if one pre-AACR 2 heading will be split
                   under AACR 2.]
```

(3) Notes re publisher/issuing body:

When there are more than two changes of publisher or when there have been more than two different consecutive bodies both issuing and publishing the publication, use only one 643 field and give an explanation in a 667 field. The explanation should be as specific as is appropriate for the situation.

```
667   $a Imprint varies
667   $a Publisher varies
667   $a Published by various offices of the Division of
               Education
667   $a Issued by various agencies of the West German
               government, e.g., Presse- und Informationsamt,
               Bundesministerium der Justiz, Bundesministerium für
               Forschung und Technologie
```

When converting a series-like phrase for a single phrase to an undifferentiated phrase record to cover the same phrase used by more than one publisher, give a 667 note using the wording given below. (See the Introduction yellow pages for more information about these records.)

```
667   $a Undifferentiated phrase record:  Covers all
         instances when this character string used by any
         publisher is considered to be a series-like phrase;
         if character string is to be a series, separate
         SAR has been made.
```

(4) Notes re type of publication:

If the series is a document series, give a 667 note.

```
667   $a Document
```

LC practice: If the series is a technical report, give a 667 note and include the location of issues in LC.

```
667   $a Technical report.  Generally, issues of this series
         are uncataloged in LC; they are in the Science,
         Technology, and Business Division [or: in the Asian
         Division].  If volumes have been cataloged, the
         bibliographic records can be found by searching for
         the series heading above.
```

If the publication has changed its identity (e.g., from a monographic series to a periodical), give a 667 note that indicates what happened which will explain why a full set of analytic records is not available.

```
667   $a Telephone call to publisher, 11-2-88:  Change in
         pattern of publication; v. 1-17 monographic works,
         v. 18- collections of articles
667   $a Publication was periodical for v. 1-3; monographic
         series beginning with v. 4
```

LC practice: If LC has changed its decision about a title being a series, summarize the earlier treatment.

```
667   $a Vols. 1-25 considered a series (classified as a
         collection, not analyzed [call no.])
667   $a Considered a series (classified separately, traced)
         previous to AACR 2
             [on a series-like phrase SAR]
667   $a Considered a phrase previous to AACR 2
             [on a series SAR]
```

(5) Notes re handling of series-like phrase:

```
667   $a Do not give as a quoted note
667   $a Give as a quoted note
667   $a Give as a quoted note if [name of publisher] is not
         recorded in the publication, distribution, etc. area
         of the bibliographic record
              [for phrase that combines name of publisher and
              a generic term]
667   $a Is an imprint, not a series.  Record in publication,
         distribution, etc. area of the bibliographic
         record
              [for imprint that could be construed to be
              title, e.g., Metropolitan Books]
667   $a Give as a quoted note, including the number, e.g.,
         AAI no. 85-41
667   $a Give as other title information in the title and
         statement of responsibility area of the
         bibliographic record
```

(6) *LC practice:* Notes re change in selection decision (also see 64X yellow pages):

```
667   $a Not acquired in LC after 8-22-88. Volumes cataloged
         before 8-23-88 were classified separately, analyzed
         in full, traced
667   $a Not cataloged in LC after 9-30-90; LC keeps current
         issues only
667   $a Not acquired in LC after 3-10-92. Volumes in the
         collection have been discarded
667   $a Not acquired in LC after 5-28-84. Volumes cataloged
         before 5-29-84 were classified as a collection
         ([call no.]), analyzed in part, traced
```

(7) Miscellaneous notes for whatever information needs to be conveyed:

```
667   $a Previous to AACR 2 subsumed under made-up set for UN
         documents
              [See 64X yellow pages for more information about
              UN documents]

667   $a First printing of vol. 8 of the Princeton
         theological monograph series erroneously carried the
         series statement:  Pittsburgh theological
         monographs

667   $a Phone call to Borgo Press 1-20-84:  Starmont Press
         series; Borgo reprints all titles generally 6 months
         to a year later in cloth

667   $a Lacked analyzable titles until v. 9

667   $a Indexed in:  Social sciences index
              [for series not being analyzed]

667   $a Establish separate records for English and Spanish
         titles if Spanish edition of v. 3 is received
```

670   Source Data Found

This 670 section covers the following topics:
- General
- Transcription of names and titles
- Internet resources |
- Recording dates
- Justifying references
- Transcription of other data
- Special types of citations

General

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the heading, that justify the choice of the name used as the 1XX heading and references to it, and that clarify relationships between it and other headings in the file.

FUNCTIONS OF THE 670 FIELD

♦ To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters), in support of the choice and form of the heading and references.

♦ To store information that may be used to break a conflict later.

♦ To identify a person with a particular work or as an author in a particular discipline or time period.

♦ To identify separate individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings).

♦ To clarify whether different forms of a body's name or of a title are simply variations or reflect a change in the name or title and to identify relationships with other headings.

♦ To record research required by the current rules.

♦ To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate headings and misattributions.

♦ To support machine manipulation based on algorithms using information in the 670.

Note that the examples given throughout the following text have different conventions in regard to punctuation and style; unless a specific direction is given in the text, these conventions are not prescriptive. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

The first 670 field usually is the work for which the heading is being established, the "work cat;" if it doesn't contain the name being established, give "(name not given)" in subfield $b. Give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

Note that it is not always necessary to include a 670 field for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record. For example, an NAR does not serve as a biographical sketch of a person, nor as an account of the detailed history of a corporate body.

A 670 field should include the following:

(1)   The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with an indication of the main entry of the work, which may also be abbreviated or in a NAR be replaced by a pronoun; if the main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper.

In authority records created using an automated authority generation program, the 670 information may include the main entry name as it appears in the bibliographic record for which the authority record is being made. In order to maintain the cost effectiveness of this process, it is recommended that catalogers accept the additional information as generated.

(2)   The date of publication. Also see the guidelines below for specific categories:

• Multipart items. If the part is the first part, give the date of publication as an open date.

• Serials other than monographic series. Generally, use a chronological designation instead of a publication date; if there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a "surrogate" was used.

```
          670 $a The Verdict, Feb. 1975: $b t.p. ([data])
not       670 $a The Verdict, vol. 2, no. 1 (Feb. 1975): $b
              t.p. ([data])

          670 $a Studies in Confederate history, No. 1 (1966),
              surrogate $b cover ([data])

not       670 $a Studies in Confederate history, 1966,
              surrogate $b cover ([data])
```

• Integrating resources. Identify the iteration from which information was
taken (e.g., "viewed on" dates for updating Web sites, update number or release
number for updating loose-leafs).

```
          670 $a Internet Broadway database, viewed on Jan. 21,
              2003: $b about IBDB (League of American Theatres
              and Producers)
```

(3)   The specific location(s) of the information found (e.g., t.p., jkt., label, map recto)
      when the work cited is other than a standard reference source, (e.g., an
      encyclopedia or a bibliographic file). For numbered multipart items, include the
      volume number of the item with the specific location. *LC practice*: If the heading
      is being established from a CIP at the galley stage, precede the first location with
      the word CIP, e.g., CIP t.p., CIP pref.

      Specific location was not given on "n42-" (retrospective) SARs.

      For NARs, generally, use "etc." to avoid giving more than two locations or a
      sequence of locations (e.g., p. 316, etc., for p. 316-325, 329-331, 342). For SARs,
      always give each location separately.

(4)   Information found. Following the location, cite the information found there,
      enclosed in parentheses. Automated authority record generation programs may
      supply additional information from the bibliographic record from which the
      authority record is being made, e.g., complete statements of responsibility. In
      order to maintain the cost effectiveness of these programs, use judgment in
      deciding what information can remain in the subfield $b and what is really
      extraneous to the record being created and should be deleted.

      If the name being established is not in the first 670 for the "work cat.," give
      "(name not given)" in the subfield $b.

      As appropriate, give multiple occurrences of information from the same source
      following the location of the information. (Note: In SARs the parenthetical
      statement of the form of title proper was omitted until June 1989.)

      If an SAR is for a republication only, begin the 670 with the term for the type of

republication and a slash. Do not include a 670 for a republication if the SAR covers both the original and one or more republications. Do not add additional 670 fields for other types of republications cataloged later. (See 64X yellow pages for more information about republications.)

```
670 $a Large print edition/Fool's coach, c1989 $b CIP
        t.p. (An Evans novel of the West)
```

Transcription of names and titles

Transcribe names or series titles used in the heading or references in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction Page 2 on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law (AACR2 rule 25.15A2) or a subject compilation of laws (AACR2 25.15A1), if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

```
670 $a Workers' compensation law of the state of North Carolina,
        c1980: $b t.p. (Workers' compensation law of the state of
        North Carolina) citation title, p. 49 (The North Carolina
        Workers' Compensation Act)
```

For corporate headings, include in the data cited all the hierarchy required to justify needed references, but do not include elements irrelevant to the particular heading being established, e.g., subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should be deleted.

For all of the above categories, if the only expression of the name or title on the chief source of information is in the bibliographic title given in subfield $a of the 670 citation, repetition of the name in subfield $b may be omitted, provided no important information is lost.

If information about an earlier/later name or title is found in the same source as the name or title in the heading, give all the information in the 670 field; do not separate the information about the earlier/later name or title and give it in a 675 field.

```
670 $a Strafvollzug, 1985 $b t.p. (Rechtsgeschichte) p. 2
        (Continues: Veröffentlichungen / Justizministerium Nordrhein-
        Westfalen)
```
Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add

after it the bracketed phrase **[in rom.]**.

In such languages as Arabic and Hebrew, vowels are commonly omitted from the orthography of texts, and the cataloger supplies the missing vowels in transcribing data. When transcribing text that does include the vowels, add after it in brackets **[voc.]** or **[part voc.]** as appropriate.

Internet resources

These instructions apply to electronic resources being cataloged and to resources used as reference sources.

Give the title of the Internet resource and the date it was consulted in subfield $a. In subfield $b, give a location within the resource (e.g., home page, about page, HTML title, t.p. of .pdf), if appropriate, and the information found.

Generally, don't include the URL (Uniform Resource Locator) because the address often changes. If a URL is included, give it in subfield $b. If the URL contains a spacing tilde or a spacing underscore, replace the character with its corresponding hex code, preceded by the percent sign:

> %7E for spacing tilde
> %5F for spacing underscore

```
670  $a British Oceanographic Data Centre WWW Home page, Sept. 6,
     1995 $b (BODC, est. Apr. 1989, developed British Oceanographic
     Data Service (BODS))

670  $a AltaVista, viewed Dec. 4, 1997: $b WWW page title screen
     (AltaVista, search network) HTML title (Alta Vista) additional
     screens (World Wide Web search engine developed by Digital
     Equipment Corp.)

670  $a Harvard Business School Publishing Corporation gopher, Nov.
     23, 1994 $b main menu (Harvard Business School Publishing
     Corporation) readme (Harvard Business School Publishing)
```

Recording dates

To facilitate international contribution and use of authority records, when giving dates use the abbreviated forms for months given in AACR2 Appendix B.15. (The U.S. practice for recording dates using numerals differs from the practice in some other countries). Do not change the style of dates in existing records.

Justifying references

Justify names or titles given as references by information cited from sources. However, justification is not required in the following cases:

(1)   References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.

(2)   References made on the basis of the cataloger's awareness of different romanizations or orthographies.

(3)   Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.

(4)   References made on the basis of information from the National Library of Canada (cf. DCM Z1 Appendix for Canadian headings).

(5)   References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.

(6)   References made on the basis of information from the British Library as part of the English Short Title Catalogue project.

(7)   Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

NARs. Use judgment to determine how much data to record in the permanent authority record. Do not abbreviate or translate distinguishing terms (e.g., titles of address or office) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the heading. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

SARs. Use judgment to determine how much data other than forms of the title/phrase to record in the permanent authority record. Numbering and names of issuing bodies are not required but may be given.

Special types of citations

The most commonly occurring citations are listed below. If these are not appropriate, devise others as needed.

LC database. For LC catalogers not working in OCLC and RLIN, "LC database" as used in a 670 subfield $a equals name/series authority records and bibliographic records with the following values in the 906 $b: cbc, cbu, rip, par, and vip. Note that PREMARC records are now included in those categories of bibliographic records. (LC catalogers: See the separate document about policy decisions related to local authority control and PREMARC records.)

For LC catalogers working in OCLC and RLIN and for NACO participants, there is no change in what is considered to be the "LC database" as used in 670 subfield $a.

NARs. Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **hdg.:** (or **MLC hdg.:** if appropriate), give the heading (or headings) found, even if it is the same as the current heading.

If different forms of the name exist in the bibliographic records, record the heading and also any forms found, including usage identical to the heading. Separate the heading from the other forms, and preface the other forms with an appropriate label, e.g., **usage:**[1] or **variant:**.[2] Do not normally cite specific bibliographic records or the exact location of the variations found.

```
670 $a LC database, Jan. 31, 1992 $b (hdg.: Rivière, Pierre,
    1815-1840)

670 $a LC database, Aug. 24, 1982: $b (hdg.: Sociedade
    Brasileira pelo Progresso da Ciencia; usage: Sociedade
    Brasileira para o Progresso da Ciencia, SBPC)
```

---

[1] "Usage" on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name <u>as it appeared on the publication</u> and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution, etc., area and from series statements. Headings may never be provided as usage.

[2] "Variant" on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication, distribution, etc. area or in an unquoted note; normally, there is not a need to cite such a variant in a 670 field. This understanding of "variant" within the context of a database does not refer to the varying forms of name found on an item not selected as the form used for the heading.

```
670 $a LC database, Mar. 11, 1996 $b (hdg.:  Swedish
    American Corporation; variant: Swedish American Corp.)
```

SARs. Give the date of the search, using month abbreviations, followed by the citation of the bibliographic record. In parentheses give the series statement found in that record.

```
670 $a LC database, Nov. 28, 1983, Les Déchets ménagers,
    c1980 $b (Les cahiers de l'AGHTM)
```

Minimal level cataloging records and less than fully authenticated serial records. Authority work normally has not been done for headings used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the formulation of the heading. If the established heading is different, do necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC headings. However, when the information is useful, document its source in the 670 field, e.g., **MLC hdg.:** or **Less than fully authenticated serial usage:**

LC manual authority card. *LC practice*: When formulating the 670 citation for a manual authority card citation, use either **LC manual auth. cd.** or **LC manual cat.** (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

Citing other files or catalogs. If a heading is found in other manual catalogs or online databases, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

```
670 $a LC in OCLC, date:  $b ([data])
670 $a RLIN, date $b ([data])
670 $a M/B/RS Collections Authority file $b ([data])
670 $a New Delhi MARC file $b ([data])
670 $a MWA/NAIP files $b (hdg.: ____; usage: ___; variants:
    _____)
670 $a NUC pre-56: $b ([data])
670 $a NRMM $b ([data])
```

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority records.

```
670 $a nuc85-70017: Lower and middle Pennsylvania
       stratigraphy ... 1982 $b (hdg. on AAP rept.:
       Sutherland, Patrick Kennedy, 1925- ; usage: Patrick
       K. Sutherland)
```

Reference works. Cite reference sources and the information found in them as briefly as possible within the requirements of intelligibility already stated, e.g.:

```
670 $a DNB $b ([data])
670 $a Harvard dict. of music $b ([data])
670 $a Comp. diss. index: $b ([data])
670 $a WW sci. Europe, 1991 $b ([data])
670 $a Banker's alm./yrbk., 1991: $b ([data])
```

A list of previously used abbreviations for some national bibliographies is in *Cataloging Service Bulletin*, no. 22 (fall 1983).

BGN. For geographic names established on the basis of information from the United States Board on Geographic Names,[3] convey a designated short form of name by adding within brackets immediately after the appropriate element the statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the heading. Retain the phrases "[conventional]," "[(language)]," etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazeteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In the published gazetteers the short form is shown with the use of boldface type.

```
        670 $a GEOnet, June 13, 1989 $b (Coast [short form]
               Province; ADM1, 3˚00'S 39˚30'E)
or      670 $a BGN $b (Coast [short form] Province; ADMD, 3˚00'S
               39˚30'E)

        670 $a GEOnet, July 7, 1992 $b (Varese [short form]
               Provincia di; ADM2, 45˚48'N 8˚48'E)
or      670 $a BGN $b (Varese [short form], Provincia di; PROV,
               45˚48'N 8˚48'E)

        670 $a GEOnet, Apr. 31, 1996 $b (Geneva [conventional];
               Genève [native], PPL, 46˚12'N 6˚10'E; variants:
               Ginevra, Genf)
or      670 $a BGN $b (Genève [French], Geneva [conventional];
               POPL, 46˚12'N 6˚10'E)
```

---

[3] Published gazetteers or World Wide Web sites (GNIS (domestic information: URL: http://geonames.usgs.gov; GEOnet (foreign information: URL: http://164.214.2.59/gns/html/)

```
670 $a GEOnet, Sept. 28, 2001 $b (Cambridgeshire [short form
       = Cambridge]; ADM1, 52˚12'N 0˚07'E)
```

Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically ("Letter from author," "Phone call to publisher," etc.) or in general terms ("Information from author," "Information from publisher," etc.). When noting a specific source, it isn't necessary to show how information was received, e.g, that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

```
670 $a Phone call to H. Jones, Jan. 31, 1992 $b (Harry Jones
       is real name of Lionel Jones)

670 $a Letter from author, May 29, 1994 $b (correct
       birthdate for _____ is Oct. 14, 1950)

670 $a Information from publisher, Feb. 6, 1991 $b (James
       Allan's middle name is Stephen, not Steven)

670 $a Information from OCLC, Mar. 8, 1996 $b (_____)
```

781   Subdivision Heading Linking Entry–Geographic Subdivision

PCC optional practice (LC does not use this field):

For a geographic name heading that may also be used as a geographic subdivision, determine the form in which the heading is to be used as a geographic subdivision following the guidelines in instruction sheet H 830 of the *Subject Cataloging Manual: Subject Headings*. Enter the text of the geographic subdivision form in a 781 field with second indicator 0. For a geographic heading that is used directly, such as a country, enter the data in a single $z subfield. For a geographic heading that is used indirectly through a larger geographic entity, such as a city, enter the data in two successive $z subfields. Use no other subfields. Make no changes to values in bytes of the 008.

Examples:

```
151 ## $a France
781 #0 $z France

151 ## $a Paris (France)
781 #0 $z France $z Paris

151 ## $a Lycia
781 #0 $z Turkey $z Lycia

151 ## $a Sydney (N.S.W.)
781 #0 $z Australia $z Sydney (N.S.W.)

151 ## $a Valencia (Spain : Region)
781 #0 $z Spain $z Valencia (Region)
```

Do not add a 781 field to a record for a geographic name heading that is not appropriate for use as a subject added entry (008/15 value "b"), such as the earlier name of a jurisdiction that has undergone a linear name change, for example, **Ceylon**.

See also DCM Z1 667 for guidelines on adding 667 fields with notes indicating subject cataloging usage to name authority records for geographic headings that may not be used as geographic subdivisions, such as entities within cities that are qualified by the city name.

Follow these guidelines for newly-created authority records. Add a 781 field to an existing record when making any other change to it. If revising an existing record that contains a 667 field subject cataloging usage note indicating the proper geographic subdivision form, delete the 667 field and replace it with a 781 field.

953   Local Staff Codes

Content Designation

        Indicators: Both indicators are undefined.
        Subfield codes: $a   Code of staff creating record
                                $b   Code of staff modifying record

General

This field is a local LC field.

This field is not repeatable.

This field contains the cataloger codes of LC staff creating or modifying the record in the LC Database. This field is added or updated only by catalogers working in the LC Database.

When creating a new record, input your cataloger's code in 953 $a. When revising a record that has a 953 field, add or adjust the code in 953 $b; if there is an existing code in 953 $b, replace it with your own code. When revising a record that does not already have a 953 field, add only a 953 $b; do not "make up" a 953 $a.

Input codes as four characters: two lowercase letters and two numerals, e.g., ta18.

During the conversion from MUMS, data in MUMS fixed field box 25 was transferred to 953 $a and data in MUMS fixed field box 26 was transferred to 953 $b. If there was no data in MUMS fixed field box 25, a "dummy" code of xx00 was generated in 953 $a.

LC Supplement Guidelines Supplement to the MARC 21
    Format for Authority Data: 781 field

    The following 781 Blue page previously issued to PCC
    participants in June 2003 is included in this update
    for use by LC catalogers.

781   Subdivision Heading Linking Entry‒Geographic Subdivision

NACO:

NACO participants may, at their own discretion, provide a 781 field in Name authority records for geographic headings (151) when creating them for the NACO authority file. The 781 field is used to indicate the appropriate form to be used as a geographic subdivision in a bibliographic record when the heading itself may also be used as a geographic subdivision. 151s not appropriate for use as subdivisions include city sections. Consult instruction sheets H 835 and H 830 in the *Subject Cataloging Manual: Subject Headings*.

Always use Second indicator value 0.

Do not use subfields:
> $v, $w, $x, $y, $0, $2, $5, $6, $8

SACO:

Supply the 781 field in Subject authority records for geographic subject headings that may also be used as subdivisions, following the guidelines in the *Subject Cataloging Manual: Subject Headings* instruction sheets H 836 and H 830.

Always use Second indicator value 0.

Do not use subfields:
> $v, $w, $x, $y, $0, $2, $5, $6, $8

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Always use Second indicator value 0.

Do not use subfields:
> $v, $w, $x, $y, $0, $2, $5, $6, $8

Local Subfield Code

> $9 - Local field-level nonprint flag *[SUBJECTS only]*

Use local subfield $9 to control the printing of the field in output products.